

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Mikiko SODEOKA et al. : **Mail Stop: PCT**
Serial No. NEW : Attorney Docket No. 2006_0061A
Filed February 7, 2006

PROCESS FOR PRODUCING OPTICALLY
ACTIVE BETA-AMINO ACID DERIVATIVES
[Corresponding to PCT/JP2004/012156
Filed August 18, 2004]

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449 and any additional information identified below in paragraph 3. A legible copy of each reference listed on the Form PTO-1449 is enclosed, except a copy is not provided for:

- ☒ each U.S. Patent and U.S. Patent application publication;
- ☐ each reference previously cited in the international application
PCT/_____; and/or
- ☐ each reference previously cited in prior parent application Serial No.
_____.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the
above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☐ the concise explanation contained in the specification of the present application at page,
 - d. ☐ the concise explanation set forth in the attached English language abstract,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ A foreign patent office search report citing one or more of the references is enclosed along with the Written Opinion.

Respectfully submitted,

Mikiko SODEOKA et al.

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February 7, 2006

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: February 7, 2006

ATTY DOCKET NO.
2006_0061ASERIAL NO.
NEW

10/567368

APPLICANT
Mikiko SODEOKA et al.FILING DATE
February 7, 2006

GROUP

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	6,080,857	6/2000	Sibi et al.			
	AB						
	AC						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AD						
	AE						
	AF						

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AG	W. Zhuang et al., "Catalytic enantioselective addition of aromatic amines to enones: synthesis of optically active β -amino acid derivatives", Chemical Communications, No. 12, pp. 1240-1241, 2001.
	AH	L. Fadini et al., "Ni(II) complexes containing chiral tridentate phosphines as new catalysts for the hydroamination of activated olefins", Chemical Communications, No. 1, pp. 30-31, 2003.
	AI	K. Li et al., "Air- and moisture-stable cationic (diphosphine)palladium(II) complexes as hydroamination catalysts x-ray crystal structures of two [(diphosphine)Pd(NCM3)(OH) ₂] ²⁺ [OTf] ₂ ⁻ complexes", Journal of Organometallic Chemistry, Vol. 665, pp. 250-257, 2003.
	AJ	K. Li et al., "Dicationic [(BINAP)Pd(solvent) ₂] ²⁺ [TfO] ₂ ⁻ : enantioselective hydroamination catalyst for alkenoyl-N-oxazolidinones", Chemical Communications, No. 10, pp. 1132-1133, 2003.
	AK	Y. Hamashima et al., "Amine-Salt-Controlled, Catalytic Asymmetric Conjugate Addition of Various Amines and Asymmetric Protonation", Organic Letters, Vol. 6, No. 11, pp. 1861-1864, May 27, 2004.
	AL	S. Fustero et al., "New Strategy for the Stereoselective Synthesis of Fluorinated β -Amino Acids", Journal of Organic Chemistry, Vol. 67, pp. 4667-4679, 2002.
	AM	M. P. Sibi et al., "Chiral Lewis Acid Catalysis in Conjugate Additions of O-Benzylhydroxylamine to Unsaturated Amides. Enantioselective Synthesis of β -Amino Acid Precursors", J. Am. Chem. Soc., Vol. 120, No. 26, pp. 6615-6616, 1998.

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.